

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Niemeyer, Paul V.	2. Court or Organization Court of Appeals - Fourth Circuit	3. Date of Report 05/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 910 United States Courthouse 101 West Lombard Street Baltimore, Maryland 21201		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. Since 1984	Now with LexisNexis Matthew Bender, Albany, New York -- Royalty agreement with co-author Linda M. Schuett on sale of book.
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income

☐

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	LexisNexis Matthew Bender, Albany, New York	\$6,694.20
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☒

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. T. Rowe Price Prime Reserve (money market account)	A	Interest	J	T	Buy (add'l)	05/56/20	J		
2.					Sold (part)	05/28/20	J	A	
3. T. Rowe Price Spectrum Growth	E	Dividend	M	T					
4. Northwestern Mutual policy	C	Dividend	M	T					
5. Northwestern Mutual policy	C	Dividend	M	T					
6. Mass. Mutual whole life policies	B	Dividend	K	T					
7. T. Rowe Price Capital Apprec.	E	Dividend	M	T	Sold (part)	11/16/20	J	A	
8. Vanguard Wellesley	E	Dividend	K	T	Sold (part)	03/17/20	K	A	
9. Vanguard Wellington	D	Dividend	M	T	Sold (part)	02/27/20	K	A	
10.					Sold (part)	03/04/20	L	A	
11. Vanguard Total Stock Index	B	Dividend	M	T	Sold (part)	02/20/20	L	A	
12. Vanguard Growth and Income	D	Dividend	M	T	Sold (part)	07/15/20	K	A	
13. Vanguard Mid-Cap Index	B	Dividend	M	T					
14. T. Rowe Price Comm. & Tech.	C	Dividend	L	T					
15. T. Rowe Price New Horizons	A	Dividend	J	T					
16. Vanguard REIT Index	A	Dividend	K	T					
17. Apple, Inc. stock	A	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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18. M&T Bank Account	A	Interest	L	T					
19. T. Rowe Price Health Sciences	A	Dividend	J	T					
20. TRP Emerging Mkt	A	Dividend	K	T					
21. Vanguard Int'l Growth	A	Dividend	J	T	Sold (part)	02/20/20	K	A	
22. Raytheon Technologies (formerly United Technologies)*	A	Dividend	J	T	Sold (part)	04/03/20	J		
23. Carrier Global Corp.	A	Dividend	J	T	Buy	04/03/20	J		
24. Otis Worldwide Corp.	A	Dividend	J	T	Buy	04/03/20	J		
25. J.P.Morgan Chase & Co.	A	Dividend	J	T	Buy	05/26/20	J		
26. Vanguard Money Mkt.	A	Interest	J	T	Buy	02/20/20	M		
27.					Sold (part)	04/01/20	M	A	
28. Md. Coll. Invest. Plan (1)**	F	Dividend	O	T	Sold (part)	07/27/20	K	D	
29.					Sold (part)	12/11/20	K	D	
30. Md. Coll. Invest. Plan (2)**	F	Dividend	O	T					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII. Investments and Trusts

Line 22 - Sale on 4/3/20 was due to stock split

Lines 28 & 30 - These 529 accounts were inadvertently omitted in the past [REDACTED] .

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Paul V. Niemeyer**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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